

Docket No.  
POU920010048US1

# Declaration and Power of Attorney For Patent Application

## English Language Declaration

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

**METHOD FOR USING A PORTION OF THE SYSTEM CACHE AS A TRACE ARRAY**

the specification of which

(check one)

☒ is attached hereto.

☐ was filed on \_\_\_\_\_

Application Number \_\_\_\_\_

and was amended on \_\_\_\_\_

as United States Application No. or PCT International

(if applicable)

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, Section 119(a)-(d) or Section 365(b) of any foreign application(s) for patent or inventor's certificate, or Section 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate or PCT International application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)

(Number)

(Country)

(Day/Month/Year Filed)

(Number)

(Country)

(Day/Month/Year Filed)

(Number)

(Country)

(Day/Month/Year Filed)

Priority Not Claimed

☐

☐

☐

I hereby claim the benefit under 35 U.S.C. Section 119(e) of any United States provisional

\_\_\_\_\_  
(Application Serial No.)

\_\_\_\_\_  
(Filing Date)

\_\_\_\_\_  
(Application Serial No.)

\_\_\_\_\_  
(Filing Date)

\_\_\_\_\_  
(Application Serial No.)

\_\_\_\_\_  
(Filing Date)

I hereby claim the benefit under 35 U. S. C. Section 120 of any United States application(s), or Section 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. Section 112, I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, C. F. R., Section 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application:

\_\_\_\_\_  
(Application Serial No.)

\_\_\_\_\_  
(Filing Date)

\_\_\_\_\_  
(Status)  
(patented, pending, abandoned)

\_\_\_\_\_  
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\_\_\_\_\_  
(Application Serial No.)

\_\_\_\_\_  
(Filing Date)

\_\_\_\_\_  
(Status)  
(patented, pending, abandoned)

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

**POWER OF ATTORNEY:** As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith. *(list name and registration number)*

William B. Porter (Reg. No. 33,135)  
 Floyd A. Gonzalez (Reg. No. 26,732)  
 Lynn L. Augspurger (Reg. No. 24,227)  
 William A. Kinnaman, Jr. (Reg. No. 27,650)  
 Lawrence D. Cutter (Reg. No. 28,501)  
 Andrew J. Wojnicki, Jr. (Reg. No. 43,995)  
 Stanley B. Green (Reg. No. 24,351)  
 Christopher A. Hughes (Reg. No. 26,914)  
 John E. Hoel (Reg. No. 26,279)  
 Joseph C. Redmond, Jr. (Reg. 18,753)  
 All Attorneys listed under PTO Customer No. 23413

Send Correspondence to: **Philmore H. Colburn II**  
**Cantor Colburn LLP**  
**55 Griffin Road South**  
**Bloomfield, CT 06002**

Direct Telephone Calls to: *(name and telephone number)*  
**Philmore H. Colburn II (860) 286-2929**

Full name of sole or first inventor

**David B. Fox**

Date

Sole or first inventor's signature

Residence

**158 Russell Street, Littleton, MA 01460**

Citizenship

**USA**

Post Office Address

**Same as residence**

Full name of second inventor, if any

**Joseph M. Hoke**

Date

Second inventor's signature

**11/01/01**

Residence


**267 Silver Mountain Road, Millerton, New York 12546**

Citizenship

**USA**

Post Office Address

**Same as residence**

|   |                           |
|---|---------------------------|
| Full name of third inventor, if any<br><b>Tin-Chee Lo</b>   |                           |
| Third inventor's signature<br> | Date<br><b>11/01/2001</b> |
| Residence<br><b>7 East Salem Road, Fishkill, New York 12524</b>   |                           |
| Citizenship<br><b>USA</b>   |                           |
| Post Office Address<br><b>Same as residence</b>   |                           |
|   |                           |

|                                      |      |
|--------------------------------------|------|
| Full name of fourth inventor, if any |      |
| Fourth inventor's signature          | Date |
| Residence                            |      |
| Citizenship                          |      |
| Post Office Address                  |      |
|                                      |      |

|                                     |      |
|-------------------------------------|------|
| Full name of fifth inventor, if any |      |
| Fifth inventor's signature          | Date |
| Residence                           |      |
| Citizenship                         |      |
| Post Office Address                 |      |
|                                     |      |

|                                     |      |
|-------------------------------------|------|
| Full name of sixth inventor, if any |      |
| Sixth inventor's signature          | Date |
| Residence                           |      |
| Citizenship                         |      |
| Post Office Address                 |      |
|                                     |      |

Express Mail Label No. E7 65454US

Page 1 of 4

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Prior Foreign Application(s)

Priority Not Claimed

|                   |                    |                                 |                          |
|-------------------|--------------------|---------------------------------|--------------------------|
| _____<br>(Number) | _____<br>(Country) | _____<br>(Day/Month/Year Filed) | <input type="checkbox"/> |
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\_\_\_\_\_  
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\_\_\_\_\_  
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\_\_\_\_\_  
(Filing Date)

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\_\_\_\_\_  
(Filing Date)

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\_\_\_\_\_  
(Filing Date)

\_\_\_\_\_  
(Status)  
(patented, pending, abandoned)

\_\_\_\_\_  
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(Filing Date)

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(Status)  
(patented, pending, abandoned)

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\_\_\_\_\_  
(Filing Date)

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**Direct Telephone Calls to:** *(name and telephone number)*  
**Philmore H. Colburn II (860) 286-2929**

Full name of sole or first inventor

**David B. Fox**

Sole or first inventor's signature



Date

11/1/01

Residence

**158 Russell Street, Littleton, MA 01460**

Citizenship

**USA**

Post Office Address

**Same as residence**

Full name of second inventor, if any

**Joseph M. Hoke**

Second inventor's signature

Date

Residence

**267 Silver Mountain Road, Millerton, New York 12546**

Citizenship

**USA**

Post Office Address

**Same as residence**

Full name of third inventor, if any

Tin-Chee Lo

Date

Third inventor's signature

Residence

7 East Salem Road, Fishkill, New York 12524

Citizenship

USA

Post Office Address

Same as residence

Full name of fourth inventor, if any

Date

Fourth inventor's signature

Residence

Citizenship

Post Office Address

Full name of fifth inventor, if any

Date

Fifth inventor's signature

Residence

Citizenship

Post Office Address

Full name of sixth inventor, if any

Date

Sixth inventor's signature

Residence

Citizenship

Post Office Address






## U.S. PATENT AND TRADEMARK OFFICE

U.S. Department of Commerce

Form PTO-1595

RECORDATION FORM COVER SHEET - PATENTS ONLY

To the Honorable Commissioner of Patents and Trademarks. Please record the attached original documents or copy thereof.

|  |   |                                 |   |                                 |                       |                            |          |          |          |          |          |          |   |
|--|---|---------------------------------|---|---------------------------------|-----------------------|----------------------------|----------|----------|----------|----------|----------|----------|---|
| <p>1. Name of conveying party(ies):</p> <table style="width: 100%;"><tr><td>a) <u>David B. Fox</u></td><td>g) _____</td></tr><tr><td>b) <u>Joseph M. Hoke</u></td><td>h) _____</td></tr><tr><td>c) <u>Tin-Chee Lo</u></td><td>i) _____</td></tr><tr><td>d) _____</td><td>j) _____</td></tr><tr><td>e) _____</td><td>k) _____</td></tr><tr><td>f) _____</td><td>l) _____</td></tr></table> <p style="text-align: right;">More names attached? <u>   </u> Y <u>   </u> X <u>   </u> N</p>  | a) <u>David B. Fox</u>  | g) _____                        | b) <u>Joseph M. Hoke</u>  | h) _____                        | c) <u>Tin-Chee Lo</u> | i) _____                   | d) _____ | j) _____ | e) _____ | k) _____ | f) _____ | l) _____ | <p>2. Name and address of receiving party(ies):</p> <p style="text-align: center;">Name: <b>INTERNATIONAL BUSINESS MACHINES CORPORATION</b></p> <p style="text-align: center;">Address: <b>New Orchard Road</b><br/><b>Armonk, NY 10504</b></p> <p style="text-align: right;">More names attached? <u>   </u> Y <u>   </u> X <u>   </u> N</p> |
| a) <u>David B. Fox</u>   | g) _____  |                                 |   |                                 |                       |                            |          |          |          |          |          |          |   |
| b) <u>Joseph M. Hoke</u>   | h) _____  |                                 |   |                                 |                       |                            |          |          |          |          |          |          |   |
| c) <u>Tin-Chee Lo</u>  | i) _____  |                                 |   |                                 |                       |                            |          |          |          |          |          |          |   |
| d) _____   | j) _____  |                                 |   |                                 |                       |                            |          |          |          |          |          |          |   |
| e) _____   | k) _____  |                                 |   |                                 |                       |                            |          |          |          |          |          |          |   |
| f) _____   | l) _____  |                                 |   |                                 |                       |                            |          |          |          |          |          |          |   |
| <p>3. Nature of Conveyance: <u>   </u> X <u>   </u> Assignment</p>   |   |                                 |   |                                 |                       |                            |          |          |          |          |          |          |   |
| <p>4. Application number: _____ Filed: _____</p> <p style="text-align: center;">Filed with new application: <u>   </u> X <u>   </u> yes <u>   </u> no</p> <p>Execution date(s):</p> <table style="width: 100%;"><tr><td>a) <u>November 1, 2001</u></td><td>g) _____</td></tr><tr><td>b) <u>November 1, 2001</u></td><td>h) _____</td></tr><tr><td>c) <u>November 1, 2001</u></td><td>i) _____</td></tr><tr><td>d) _____</td><td>j) _____</td></tr><tr><td>e) _____</td><td>k) _____</td></tr><tr><td>f) _____</td><td>l) _____</td></tr></table> <p style="text-align: right;">Additional numbers attached? <u>   </u> Y <u>   </u> X <u>   </u> N</p> |   | a) <u>November 1, 2001</u>      | g) _____  | b) <u>November 1, 2001</u>      | h) _____              | c) <u>November 1, 2001</u> | i) _____ | d) _____ | j) _____ | e) _____ | k) _____ | f) _____ | l) _____  |
| a) <u>November 1, 2001</u>   | g) _____  |                                 |   |                                 |                       |                            |          |          |          |          |          |          |   |
| b) <u>November 1, 2001</u>   | h) _____  |                                 |   |                                 |                       |                            |          |          |          |          |          |          |   |
| c) <u>November 1, 2001</u>   | i) _____  |                                 |   |                                 |                       |                            |          |          |          |          |          |          |   |
| d) _____   | j) _____  |                                 |   |                                 |                       |                            |          |          |          |          |          |          |   |
| e) _____   | k) _____  |                                 |   |                                 |                       |                            |          |          |          |          |          |          |   |
| f) _____   | l) _____  |                                 |   |                                 |                       |                            |          |          |          |          |          |          |   |
| <p>5. Name and address of party to whom correspondence concerning document should be mailed:</p> <p style="margin-left: 20px;">Name: <b>Floyd A. Gonzalez</b><br/><b>IBM Corporation</b><br/><b>Intellectual Property Law</b><br/><b>2455 South Road, P386</b><br/><b>Poughkeepsie NY 12601-5400</b></p>   | <p>6. Total # of applications and patents involved: <u>   </u> 01 <u>   </u></p> <p>7. Total fee (37 CFR 3.41):<br/>\$ <u>   </u> 40.00 <u>   </u></p> <p>8. Charge to Deposit Account 09-0463. A duplicate copy is enclosed.</p> |                                 |   |                                 |                       |                            |          |          |          |          |          |          |   |
| <p>DO NOT USE THIS SPACE</p>   |   |                                 |   |                                 |                       |                            |          |          |          |          |          |          |   |
| <p>9. Statement and Signature: To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.</p> <table style="width: 100%; margin-top: 20px;"><tr><td style="width: 30%;"><u>Susan L. Nelson</u></td><td style="width: 40%; text-align: center;"><br/>Signature</td><td style="width: 30%; text-align: right;"><u>November 2, 2001</u><br/>Date</td></tr></table>  |   | <u>Susan L. Nelson</u>          | <br>Signature | <u>November 2, 2001</u><br>Date |                       |                            |          |          |          |          |          |          |   |
| <u>Susan L. Nelson</u>   | <br>Signature   | <u>November 2, 2001</u><br>Date |   |                                 |                       |                            |          |          |          |          |          |          |   |
| <p>Total number of pages including cover sheet, attachments, and document: <u>   </u> 3 <u>   </u></p>   |   |                                 |   |                                 |                       |                            |          |          |          |          |          |          |   |
| <p>Express Mail Label No. (if applicable): <u>ET089965454US</u>      Docket No.: <u>POU920010048US1</u></p>  |   |                                 |   |                                 |                       |                            |          |          |          |          |          |          |   |

## ASSIGNMENT

Whereas, we

- (1) David B. Fox of 158 Russell Street, Littleton, MA 01460
- (2) Joseph M. Hoke of 267 Silver Mountain Road, Millerton, New York 12546 and;
- (3) Tin-Chee Lo of 7 East Salem Road, Fishkill, New York 12524

have invented certain improvements in

### METHOD FOR USING A PORTION OF THE SYSTEM CACHE AS A TRACE ARRAY

and executed a United States Patent Application therefor on (1) \_\_\_\_\_  
(2) November 1, 2001; and (3) November 1, 2001

Whereas, INTERNATIONAL BUSINESS MACHINES CORPORATION, a corporation of New York, having a place of business at Armonk, New York, 10504, (hereinafter called IBM), desires to acquire the entire right, title and interest in the said application and invention, and to any United States and foreign patents to be obtained therefor;

Now therefore, for a valuable consideration, receipt whereof is hereby acknowledged, we, the above named, hereby sell, assign and transfer to IBM, its successors and assigns, the entire right, title and interest in the said application and the invention therein disclosed for the United States and foreign countries, and all rights of priority resulting from the filing of said United States application, and we request the Commissioner of Patents to issue any Letters Patents granted upon the invention set forth in said application to IBM, its successors and assigns; and I hereby agree that IBM may apply for foreign Letters Patent on said invention and I will execute all papers necessary in connection with the United States and foreign applications when called upon to do so by IBM.

Signed

|     |                       |                            |                   |
|-----|-----------------------|----------------------------|-------------------|
| (1) | _____                 | at _____                   | on _____          |
|     | David B. Fox          | (City or Town)             | (Date)            |
| (2) | <u>Joseph M. Hoke</u> | at <u>Poughkeepsie, NY</u> | on <u>11/1/01</u> |
|     | Joseph M. Hoke        | (City or Town)             | (Date)            |
| (3) | <u>Tin-Chee Lo</u>    | at <u>Poughkeepsie, NY</u> | on <u>11/1/01</u> |
|     | Tin-Chee Lo           | (City or Town)             | (Date)            |

## ASSIGNMENT

Whereas, we

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Signed

- (1) David B. Fox at Billerica, MA on 11/1/01  
(City or Town) (Date)
- (2) \_\_\_\_\_ at \_\_\_\_\_ on \_\_\_\_\_  
Joseph M. Hoke (City or Town) (Date)
- (3) \_\_\_\_\_ at \_\_\_\_\_ on \_\_\_\_\_  
Tin-Chee Lo (City or Town) (Date)